

7-16-01 A

07/12/01
j1044 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 02821.P001XC
(maximum 12 characters)First Named Inventor Jeff N. Maggioncalda, et al.Title: User Interface For a Financial Advisory SystemExpress Mail Label No. EL 906880727 USj1046 U.S. PTO
07/12/01

07/12/01

ADDRESS TO: **Assistant Commissioner for Patents**
Box Patent Application
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. Specification (Total Pages 82)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings(s) (35 USC 113) (Total Sheets 19)
5. Oath or Declaration (Total Pages 6)
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on
 - i. CD-ROM or CD-R (2 copies), or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**
10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
 b. Power of Attorney
11. English Translation Document (if applicable)
12. a. Information Disclosure Statement (IDS)/PTO-1449
 b. Copies of IDS Citations
13. **Preliminary Amendment**
14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17. Other: Express Mail Certification

18A. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: 09/495,982 Examiner Unassigned Group Art Unit 2768

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that Financial Engines (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. 011311 Frame No. 0660 (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
or _____
 Correspondence Address Below _____

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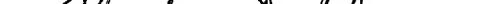
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

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ATTACHMENT (200) 7-12-1993 FAX (303) 742-6862

Name (PRINT/TYPE): Michael A. DeSanctis Registration No.: 39,957
Signature:  Date: 7/12/01

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee
			or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for ex parte reexamination
			Requesting publication of SIR prior to
			Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after
			Examiner action
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	130	123	130
126	180	126	180
581	40	581	40
			Petitions to the Commissioner
			Petitions related to provisional applications
			Submission of Information Disclosure Stmt
			Recording each patent assignment per
			property (times number of properties)
146	710	246	355
			For filing a submission after final rejection
			(see 37 CFR 1.129(a))
149	710	249	355
			For each additional invention to be examined
			(see 37 CFR 1.129(b))
179	710	279	355
169	900	169	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design
			application

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ _____

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Michael A. DeSanctis

Signature: Michael A. DeSanctis Date: 7/12/01

Reg. Number: 39,957 Telephone Number: (303) 740-1980

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

EXPRESS MAIL CERTIFICATE OF MAILING
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I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: July 12, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen 7-12-01
Signature Date

Serial/Patent No.: Unassigned Filing/Issue Date: Concurrently
Client: Financial Engines, Inc.
Title: User Interface For a Financial Advisory System

BSTZ File No.: 02821_P001XC Atty/Secty Initials: MAD/fr
Date Mailed: 7-12-01 Docket Due Date:

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs.) Express Mail No. **EL906880727US** Check No. **1695**
 Appeal Brief (____ pgs.) (in triplicate) _____ Month(s) Extension of Time Amt: **\$1,664.00**
 Application - Utility (____ pgs., with cover and abstract) Information Disclosure Statement & PTO-149 (____ pgs.) Check No. _____
 Application - Rule 1.53(b) Continuation (**82** pgs.) Issue Fee Transmittal Amt: _____
 Application - Rule 1.53(b) Divisional (____ pgs.) Notice of Appeal _____
 Application - Rule 1.53(b) CIP (____ pgs.) Petition for Extension of Time _____
 Application - Rule 1.53(d) CPA Transmittal (____ pgs.) Petition for _____
 Application - Design (____ pgs.) Postcard _____
 Application - PCT (____ pgs.) Power of Attorney (____ pgs.) _____
 Application - Provisional (____ pgs.) Preliminary Amendment (____ pgs.) _____
 Assignment and Cover Sheet Reply Brief (____ pgs.) _____
 Certificate of Mailing Response to Notice of Missing Parts _____
 Declaration & POA (**6** pgs.) (unsigned) Small Entity Declaration for Indep. Inventor/Small Business _____
 Disclosure Docs & Org & Cpy of Inventor Signed Letter (____ pgs.) Transmittal Letter, in duplicate _____
 Drawings: **19** # of sheets includes **24** figures Fee Transmittal, in duplicate _____

Other: _____

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Date of Deposit: July 12, 2001

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Fran C. Rolfsen
(Name of person mailing paper or fee)

Fran C. Rolfsen
(Signature of person mailing paper or fee)

7-12-01

(Date signed)